

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to:  
Box Patent Application, Commissioner For Patents, Washington, D.C. 20231 on this 23rd day of January, 2002.

By

*Janice M. Denison*  
(Signature of person mailing)  
Janice M. Denison  
(Typed or printed name of person)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: **Lee Harland**

APPLICATION NO.: **To be assigned**

: Examiner: **To be assigned**

FILING DATE: **Herewith**

: Group Art Unit: **To be assigned**

TITLE: **Novel Polypeptide**

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

STATEMENT REGARDING SUBMISSION  
OF SEQUENCE LISTING UNDER 37 C.F.R. §1.821(f)

I hereby state that the information recorded in computer readable form is identical to  
the written sequence listing.

Date:

1/23/2002

Respectfully submitted,

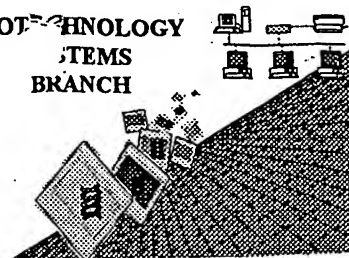
*Gabriel L. Kleiman*

Gabriel L. Kleiman  
Attorney for Applicant(s)  
Reg. No. 40,681

Pfizer Inc.  
Patent Department, MS 4159  
Eastern Point Road  
Groton, Connecticut 06340  
(860) 715-0041

EXPRESS MAIL NO. EL91206232002S

10055106 012302



02/22

OIR

## CRF Problem Report

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/055,106  
Filing Date: 1/23/2002  
Date Processed by STIC: 2/13/2002

STIC Contact: Mark Spencer, 703-308-4212

### Nature of Problem:

The CRF (was):

- ☐ (circle one) Damaged or Unreadable (for Unreadable, see attached)  
☐ Blank (no files on CRF) (see attached)  
☐ Empty file (filename present, but no bytes in file) (see attached)  
☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.  
☐ Not saved in ASCII text  
☐ Sequence Listing was embedded in the file. According to Sequence Rules,  
☒ submitted file should **only** be the Sequence Listing.  
☐ Did not contain a Sequence Listing. (see attached sample)  
☐ Other: \_\_\_\_\_

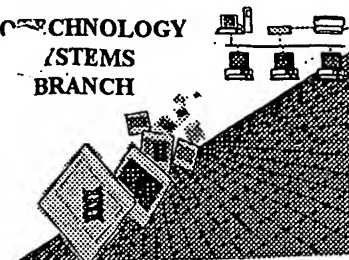
**PLEASE USE THE CHECKER VERSION 3.1 PROGRAM TO REDUCE ERRORS.  
SEE BELOW FOR ADDRESS:**

<http://www.uspto.gov/web/offices/pac/checker>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail. Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom. Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<<http://www.uspto.gov/ebs/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:  
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7<sup>th</sup> Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202  
Or  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service , or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002



0590  
425

01PE

## CRF Problem Report

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/055,106A  
Filing Date: 01/23/2002  
Date Processed by STIC: 4/22/02

STIC Contact: Mark Spencer, 703-308-4212

### Nature of Problem:

The CRF (was):

- ☐ (circle one) Damaged or Unreadable (for Unreadable, see attached)
- ☐ Blank (no files on CRF) (see attached)
- ☐ Empty file (filename present, but no bytes in file) (see attached)
- ☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.
- ☐ Not saved in ASCII text
- ☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should **only** be the Sequence Listing.
- ☒ Did not contain a Sequence Listing. (see attached sample)
- ☐ Other: \_\_\_\_\_

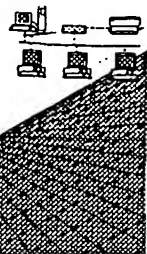
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SEE BELOW FOR ADDRESS:**

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2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:  
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7<sup>th</sup> Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202  
Or  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service , or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002



0570  
0710

OIPE

## CRF Problem Report

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 10/055/06B  
Filing Date: 01/23/2002  
Date Processed by STIC: 7/10/02

STIC Contact: Mark Spencer, 703-308-4212

### Nature of Problem:

The CRF (was):

- ☒ (circle one) Damaged or Unreadable (for Unreadable, see attached)  
☐ Blank (no files on CRF) (see attached)  
☐ Empty file (filename present, but no bytes in file) (see attached)  
☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.  
☐ Not saved in ASCII text  
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☐ Did not contain a Sequence Listing. (see attached sample)  
☐ Other: \_\_\_\_\_

**PLEASE USE THE CHECKER VERSION 3.1 PROGRAM TO REDUCE ERRORS.  
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3. Hand Carry directly to:  
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7<sup>th</sup> Floor, Examiner Name,  
Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202  
Or  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two,  
2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service , or other delivery service to: U.S. Patent and Trademark Office,  
Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002

10/055,106

Organization Applicant

-----  
Street :  
City :  
State :  
Country :  
PostalCode :  
PhoneNumber :  
FaxNumber :  
EmailAddress :

<110> OrganizationName : Pfizer Inc.

Individual Applicant

-----  
Street :  
City :  
State :  
Country :  
PostalCode :  
PhoneNumber :  
FaxNumber :  
EmailAddress :

<110> LastName : Harland  
<110> FirstName : Lee  
<110> MiddleInitial :  
<110> Suffix :

Application Project

-----  
<120> Title : Novel Polypeptide  
<130> AppFileReference : PC10970AGLK  
<140> CurrentAppNumber :  
<141> CurrentFilingDate : \_\_\_\_-\_\_\_\_-\_\_\_\_

Earlier Applications

-----  
<150> PriorAppNumber : GB0101739.1  
<151> PriorFilingDate : 2001-01-23

Earlier Applications

-----  
<150> PriorAppNumber : US 60/267,341  
<151> PriorFilingDate : 2001-02-08

Sequence

-----  
<213> OrganismName : Homo sapiens  
<400> PreSequenceString :  
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atcagcctct acttcatagt gcttattggc gggctgggtg gtgtcatttc cattcttttc 120  
ctcctggtga aaatgaacac ccggtcagtg accaccatgg cggtcattaa cttgggtggtg 180

Does Not Comply  
Corrected Diskette Needed

- Sample page from 2 of 2 files

1) Major formatting error. If Patent In.  
Software was used, please contact Robert  
Wat at 703-306-4119 or 703-308-4212  
for assistance.

2) Note: please submit only 1 file!

See sample sequence listing  
attached!

10/055,104

`CProjectData`~~~~iNovel Polypeptide YY`~~~`CProject`~~~~YY`  
PC10970AGLK`  
\_\_\_\_-\_\_\_\_-\_\_\_\_H:~`~~~YY`

- sample page from 1 of 2 files.

# Sample Sequence Listing

<110> Smith, John; Smithgene Inc.

<120> Example of a Sequence Listing

<130> 01-00001

<140> PCT/EP98/00001

<141> 1998-12-31

<150> US 08/999,999

<151> 1997-10-15

<160> 4

<170> Patent in version 2.0

<210> 1

<211> 389

<212> DNA

<213> Paramecium sp.

<220>

<221> CDS

<222> (279)...(389)

<300>

<301> Doe, Richard

<302> Isolation and Characterization of a Gene Encoding a  
Protease from Paramecium sp.

<303> Journal of Genes

<304> 1

<305> 4

<306> 1-7

<307> 1988-06-31

<308> 123456

<309> 1988-06-31

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agggagagtg	tcttgacctt	cctctgcctt	tgcagcttca	caggcaggca	ggcaggcagc		120
tgatgtggca	attgctggca	gtgccacagg	cttttcagcc	aggcttaggg	tgggttccgc		180
cgcgggcgcg	cggtccctct	cgcgctctct	tcgcgctctt	ctctcgctct	cctctcgctc		240

## Appendix 3, page 2.

ggacctgatt aggtgagcag gaggagggggg cagcttagc atg gtt tca atg ttc agc 296  
Met Val Ser Met Phe Ser

ttg tct ttc aaa tgg cct gga ttt tgt ttg ttc gtt tgt ttc caa 344  
Leu Ser Phe Lys Trp Pro Gly Phe Cys Leu Phe Val Cys Leu Phe Gln

tgt ccc aaa gtc ttc ccc tgt cac tca tca ctg cag ccg aat ctt 389  
Cys Pro Lys Val Leu Pro Cys His Ser Ser Leu Gln Pro Asn Leu

<210> 2  
<211> 37  
<212> PRT  
<213> Paramecium sp.

<400> 2  
Met Val Ser Met Phe Ser Leu Ser Phe Lys Trp Pro Gly Phe Cys Leu  
1 5 10 15  
Phe Val Cys Leu Phe Gln Cys Pro Lys Val Leu Pro Cys His Ser Ser  
20 25 30

Leu Gln Pro Asn Leu  
35

<210> 3  
<211> 11  
<212> PRT  
<213> Artificial Sequence

<220> Designed peptide based on size and polarity to act as a  
<223> linker between the alpha and beta chains of Protein XYZ.

<400> 3  
Met Val Asn Leu Glu Pro Met His Thr Glu Ile  
1 5 10

<210> 4  
<400> 4  
000

[Annex VIII follows]



identifiers and their accompanying information as shown in the following table. The numeric identifier shall be used only in the "Sequence Listing." The order and presentation of the items of information in the "Sequence Listing" shall conform to the arrangement given below. Each item of information shall begin on a new line and shall begin with the numeric identifier enclosed in angle brackets as shown. The submission of those items of information designated with an "M" is mandatory. The submission of those items of information designated with an "O" is optional. Numeric identifiers <110> through <170> shall only be set forth at the beginning of the "Sequence Listing." The following table illustrates the numeric identifiers.

Numeric Identifier	Definition	Comments and Format	Mandatory (M) or Optional (O)
<110>	Applicant	Preferably max. of 10 names; one name per line; preferable format: Surname, Other Names and/or Initials	M
<120>	Title of Invention		M
<130>	File Reference	Personal file reference	M, when filed prior to assignment of appl. number
<140>	Current Application Number	Specify as: US 07/999,999 or PCT/US96/99999	M, if available
<141>	Current Filing Date	Specify as: yyyy-mm-dd	M, if available
<150>	Prior Application Number	Specify as: US 07/999,999 or PCT/US96/99999	M, if applicable include priority documents under 35 USC 119 and 120
<151>	Prior Application Filing Date	Specify as: yyyy-mm-dd	M, if applicable
<160>	Number of SEQ ID NOs	Count includes total number of SEQ ID NOs	M
<170>	Software	Name of software used to create the Sequence Listing	O
<210>	SEQ ID NO:#:	Response shall be an integer representing the SEQ ID NO shown	M
<211>	Length	Respond with an integer expressing the number of bases or amino acid residues	M

1/29/99 1:53 PM

<212>

Type

Whether presented sequence molecule is DNA, RNA, or PRT (protein). If a nucleotide sequence contains both DNA and RNA fragments, the type shall be "DNA." In addition, the combined DNA/RNA molecule shall be further described in the <220> to <223> feature section.

<213>

Organism

Scientific name, i.e. Genus/species, Unknown or Artificial Sequence. In addition, the "Unknown" or "Artificial Sequence" organisms shall be further described in the <220> to <223> feature section.

<220>

Feature

Leave blank after <220>. <221-223> provide for a description of points of biological significance in the sequence.

M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified base was used in a sequence; if ORGANISM is "Artificial Sequence" or "Unknown"; if molecule is combined DNA/RNA.

<221>

Name/Key

Provide appropriate identifier for feature, preferably from WIPO Standard ST.25 (1998), Appendix 2, Tables 5 and 6

M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified base was used in a sequence

<222>

Location

Specify location within sequence; where appropriate state number of first and last bases/amino acids

M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified

in feature

was used in  
a sequence

<223>	Other Information	Other relevant information; four lines maximum	M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified base was used in a sequence; if ORGANISM is "Artificial Sequence" or "Unknown"; if molecule is combined DNA/RNA
<300>	Publication Information	Leave blank after <300>	0
<301>	Authors	Preferably max of ten named authors of publication; specify one name per line; preferable format: Surname, Other Names and/or Initials	0
<302>	Title		0
<303>	Journal		0
<304>	Volume		0
<305>	Issue		0
<306>	Pages		0
<307>	Date	Journal date on which data published; specify as yyyy-mm-dd, MM-yyyy or Season-yyyy	0
<308>	Database Accession Number	Accession number assigned by database including database name	0
<309>	Database Entry Date	Date of entry in database; specify as yyyy-mm-dd or MM-yyyy	0
<310>	Patent Document Number	Document number; for patent-type citations only. Specify as, for example, US 07/999,999	0

<311>

Patent Filing  
Date

Document filing  
date, for patent-  
type citations only;  
specify as yyyy-mm-dd

<312>

Publication Date

Document publication  
date, for  
patent-type  
citations only;  
specify as yyyy-mm-dd

<313>

Relevant  
Residues

FROM (position) TO  
(position)

<400>

Sequence

SEQ ID NO should  
follow the  
numeric identifier  
and should appear  
on the line pre-  
ceding the actual  
sequence

5. Section 1.024 is revised to read as follows:

1.024 Form and format for nucleotide and/or amino acid sequence submissions in computer readable form.

(a) The computer readable form required by 1.021(c) shall meet the following specifications:

(1) The computer readable form shall contain a single "Sequence Listing" as either a diskette, series of diskettes, or other permissible media outlined in paragraph (c) of this section.

(2) The "Sequence Listing" in paragraph (a) (1) of this section shall be submitted in American Standard Code for Information Interchange (ASCII) text. No other formats shall be allowed.

(3) The computer readable form may be created by any means, such as word processors, nucleotide/amino acid sequence editors or other custom computer programs; however, it shall conform to all specifications detailed in this section.

(4) File compression is acceptable when using diskette media, so long as the compressed file is in a self-extracting format that will decompress on one of the systems described in paragraph (b) of this section.

(5) Page numbering shall not appear within the computer readable form version of the "Sequence Listing" file.

(6) All computer readable forms shall have a label permanently affixed thereto on which has been hand-printed or typed: the name of the applicant, the title of the invention, the date on which the data were recorded on the computer readable form, the operating system used, a reference number, and an application serial number and filing date, if known.

(b) Computer readable form submissions must meet these format requirements:

(1) Computer: IBM PC/XT/AT, or compatibles, or Apple Macintosh;

(2) Operating System: MS-DOS, Unix or Macintosh;

1/29/90 1:51 PM

10/05/06

~~ CProject ~~

CProjectData Novel Polypeptide  
PC10970AGLK  
\_\_\_\_-\_\_\_\_-\_\_\_\_ H: ~~

CDNASequence

First Sequence

Homo sapiens~r atgcctggcc acaatacctc caggaattcc tcttgcgac ctatagtgac accccactta  
60  
atcagcctct acttcatagt gcttattggc gggctgggtg gtgtcatttc cattcttttc 120  
ctcctggtga aaatgaacac cgggtcagt accaccatgg cggtcattaa cttggtggtg 180  
gtccacagcg tttttctgct gacagtgcc tttcgttgga cctacctcat caagaagact 240  
tggatgtttg ggcctgccctt ctgcaaattt gtgagtgcc tgcgcacat ccacatgtac 300  
ctcacgttcc tattctatgt ggtgatcctg gtcaccagat acctcatctt cttcaagtgc 360  
aaagacaaag tgggaattcta cagaaaactg catgctgtgg ctgccagtgc tggcatgtgg 420  
acgctggtga ttgtcattgt ggtaccctg gttgtctccc ggtatggaat ccatgaggaa 480  
tacaatgagg agcactgttt taaatttcac aaagagcttg cttacacata tgtgaaaatc 540

(sample of submitted file)

If Patent In software was used to create  
the file, please contact Robert Wax at 703-306-4119 or  
703-308-4216  
for assistance

PSI

Review the Sequence Listing to insure a corresponding  
explanation is presented in the <220> to <223> fields of  
each sequence using n or Xaa.